

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q78999

Russell CHILDS, et al.

Continuation Application of  
Appln. No.: 10/344,347

Group Art Unit: Not Assigned

Confirmation No.: Not Assigned

Examiner: Not Assigned

Filed: December 15, 2003

For: INTEGRATED OPTICAL DEVICE

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §§ 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

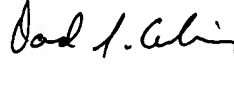
In accordance with the duty of disclosure under 37 CFR §1.56, Applicants hereby notify the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form which are all the references of record in parent application No. 10/344,347. Applicants are not submitting duplicate copies of these references but requests that they be listed on the face of any patent granted on the above application. (See 37 CFR §1.98(d)). Copies of any cited copending applications, if not previously submitted, are being submitted herewith.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not

Information Disclosure Statement  
Attorney Docket Q78999

waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,



---

David J. Cushing  
Registration No. 28,703

SUGHRUE MION, PLLC  
Telephone: (202) 293-7060  
Facsimile: (202) 293-7860

WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

Date: December 15, 2003

Substitute for Form 1449 A &amp; B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

*Complete if Known*

Application Number	Not Assigned
Confirmation Number	Not Assigned
Filing Date	December 15, 2003
First Named Inventor	Russell CHILDS
Art Unit	Not Assigned
Examiner Name	Not Assigned
Attorney Docket Number	Q78999

Sheet 1 of 1

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
		US 5,838,870		11/17/98	Soref
		US			
		US			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
		WO	0022465		04/20/00	IBM	Yes
		EP	0907090	A2	04/07/99	Northern Telecom Limited	Yes
		EP	0532229	A1	03/17/93	American Telephone and Telegraph	Yes
		EP	0729042	A1	08/28/96	Alcatel N.V.	Yes
		EP	0545820	A1	06/09/93	Alcatel Alsthom Compagnie Generale D'Electricite	No
		EP	0431527	A2	06/12/91	Canon Kabushiki Kaisha	Yes
		JP	070074396	A	03/17/95		Yes/w/English Abstract

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
		A. Kilian et al, "Birefringence Free Planar Optical Waveguide Made by Flame Hydrolysis Deposition (FHD) Through Tailoring of the Overcladding", JOURNAL OF LIGHTWAVE TECHNOLOGY, IEEE, NY, US, Vol. 18, No. 2 1 February 2000, pp. 193-198, XP001001814	Yes
		PATENT ABSTRACTS OF JAPAN, Vol. 1999, No. 08, June 30, 1999 corresponding to JP 11 064655 (A) NEC Corp). dated March 5, 1999	Yes
		E. Wildermuth et al, "Penalty-free polarisation compensation of SiO <sub>2</sub> /Si arrayed waveguide grating wavelength multiplexers using stress release grooves" ELECTRONICS LETTERS, IEE Stevenage, GB, Vol. 34, No. 17, 20 august 1998, pp. 1661-1663, XP006010219	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to indicate here if English language Translation is attached.